

OTE 83-1012

18 March 1983

MEMORANDUM FOR: Deputy Director for Administration

FROM:

Director of Training and Education

SUBJECT: OTE's On-going Survey of Executive Development

1. Attached for your information is a paper dealing with a survey we have conducted of Executive Development programs. This survey is the first phase of our study of the subject in support of our rebuilding efforts as regards the Senior Officer Development Course.

2. The paper is useful and interesting in terms of our primary purpose--SODC remodeling--but also points out still again that CIA has not kept pace with others in this area. The Agency has had some spectacular individual cases of Executive Development, but if there has been an effective, Agency-wide system at work I am unaware of it.

3. Hopefully, our survey activities such as this paper, the results of the recently-completed conference and other work we do in the coming weeks will provide useful data to top management and will stimulate interest to address this subject. It needs attention.

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Survey of Executive Development Programs

Introduction

This Survey is part of a three-phase effort undertaken by the Professional Development Staff of the Office of Training and Education to define the Agency's training requirements in support of the Senior Officer Development Program. Phase One of the effort consists of this Survey of executive development (XD) elsewhere in government and in academia. It is intended to establish a baseline and to serve as a stimulant for discussions of CIA initiatives. In addition to our review of twenty outside programs, we reviewed the provisions of the Civil Service Reform Act and the guidelines for the development of a Senior Executive Service established by OPM. We travelled extensively, visiting the War Colleges, other agencies conducting executive training programs, and met with academics responsible for the more prestigious of the university programs.

Key Findings

Most of the programs had similar goals and objectives—generally consistent with the OPM guidelines. There were, however, significant differences in executive development approaches.

- a. Centralized versus decentralized control of an executive development program.
- b. Integration of training and developmental assignments into a formal program versus a less structured approach.
- c. Full-time versus part-time program.
- d. Varying course length, deriving from considerations of release from present job for training versus training between professional assignments.
- e. Variations in sizes of training staff and reliance on internal versus external resources.
- f. Focus on the parent agency and its missions versus focus on the functions of the rest of government and other social economic/political factors.
- g. Emphasis placed on the teaching of management techniques versus expanding the executive's horizons.

Guiding Philosophies of Executive Development

We found in our interviews that other Agencies such as State, Defense and NSA have taken steps to insure that their executive development (XD) programs reflect the policies of top agency or department leadership. The OPM guidelines also make this point and suggest the following six competency areas which agencies should consider in developing their own XD programs:

- a. Integration of internal and external program/policy issues which involves seeing that both national issues and agency-wide issues are considered when making program decisions.

- b. Organizational representation and liaison.
- c. Direction and guidance of programs, projects or policy development.
- d. Managing financial and material resources.
- e. Utilization of human resources.
- f. Review of policies and programs for their efficiency and productivity.

Individual agencies may decide which of the six areas they want to emphasize in their XD programs, and how they want their candidates to achieve these competencies.

In addition, the OPM recommends that each candidate have a program tailored to individual strengths, weaknesses and career objectives, matching the needs of the individual to the organization. The candidates prepare an Individual Development Plan (IDP) and get coaching and counseling from a senior agency executive (mentor) while they are in the XD program.

OPM stresses the importance of competencies (a) and (b) above—knowledge of the Agency's external environment including its "clientele." Our survey of others' programs brought out some other XD objectives. The Internal Revenue Service, General Accounting Office, and the National Security Agency strive to broaden the professional experience of their executives. They encourage the development of generalists who have had first-hand experience with all of the major functions of the Agency. Their philosophy is to eliminate the distinctions between headquarters and field personnel, between operation and support people, and between technicians/specialists and generalists/managers, by broadening (developmental assignments) as personnel move up through management ranks to the executive level.

The programs in the survey attempt to distinguish between manager and executive and attempt to bring about that "magical" leap in perspective leading to executive function. An NSA review of their programs provides a useful definition of these terms and a description of the type of training which is appropriate to each:

- a. First-line supervisors are closest to the professional employees and need supervisory skills taught through training.
- b. Middle-level managers are a step removed from skills and production and need knowledge of professional and management processes taught through education.
- c. Executives are expected to be able to conceptualize or understand and need to enhance their ability to think and decide on the basis of organizational goals, morals, values, etc.

Other programs emphasize sabbatical or broad educational goals for the executive. They are interested in new and far-reaching experiences to stretch perspectives. The Foreign Service Institute's Executive Seminar in National and International Affairs might be placed in this category because of the amount of time spent on domestic political, social and economic issues and the extensive domestic travel—ten weeks in the ten-month program for Foreign Service Officers who have spent substantial time overseas. The objective is to ensure that FSO's have a comprehensive understanding of the domestic underpinnings to U.S. foreign policy, more simply, that they not be isolated from the people they serve. The Federal Executive Institute

likewise emphasizes an "educational" experience with emphasis on individual development and networking.

The Harvard program for Senior Executive Fellows is taking an eclectic approach to education for public sector management. It is designed to give public sector managers checklists, or frameworks for problem-solving, and in general to deepen the participants' understanding of their role, and to instill in them pride in public service.

Another goal identified in our interviews is organizational development, i.e. using the executive development program to accomplish organizational objectives and to enhance organizational maturity. The Joint Chiefs of Staff has initiated such a program to improve the efficiency of unified and specified commands through better training of general officers. This is an eleven-week course for recently promoted flag officers which is currently in its initial running at the Xerox facility in Leesburg. Like the NSA program, its purpose is to enable senior executives to work better together.

Objectives and Course Content

The major focus of the programs surveyed was on policy process and national security. This objective was to broaden the executive's knowledge about national and international influences on their respective organizations. Secondary objectives revolved around individual managers; their growth, specific personal skills, professional development plans, and inward reflection. The survey emphasizes the development of individuals as critical to overall program success. Organizational issues covered include certification for executive service, examination of organizational lifestyles, operating in a complex system, and corporate behavior. More specific objectives within the organization are operations which include efficiency, effectiveness, use of resources, communication skills, and the operational environment.

Regardless of the fine lines separating many of these objectives, a few common threads wind through the majority of them. Discussion of the environment within which a leader or executive operates, manipulation of the day-to-day operations, and building networks are common to most programs. The specific executive competencies or skills the programs are trying to achieve were not well defined. Measurements of success of the programs other than subjective student evaluations and trends in course enrollments did not provide a means of evaluating course content.

The most frequent subject areas covered range across a wide spectrum of objectives. These have been reduced to the following broad areas which are listed in order of frequency of offering:

- a. In the organization; internal/external environments and cultures were the most prevalent. Lower ranked were organizational development and liaison.
- b. The policy process and governmental administrations were the next most frequently covered. Close behind were the international situation, economics, and defense. National security and ethics, although still ranked near the median overall, brought up the rear of this category.
- c. In management; resource allocation, budgeting and planning were the core courses, followed by program evaluation and development.
- d. In the executive arena; leadership and skills were highly ranked, followed by perspectives and the environment.

e. Within human factors; communication skills rated high but were the only at the mid-level of frequency. Others in this category were managing time, conduct, and conflict resolution.

f. Least frequent were courses in the categories of technology, history, and media relations.

The above list of course content is not comprehensive. For the complete category listing, refer to the attachment.

Impact of Internal Management Structure/Style

One of the major variants in the programs surveyed was the degree of control over the executive development program. Some agencies have Executive Resources Boards which make early determination of candidates for promotion to SES and maintain close supervision of their developmental and training assignments during a 12-24 month period. Other agencies use a less structured, informal approach in which individuals and/or their components take on responsibility for determining the executive development path.

Mandatory training has the advantage of contributing to a better fit between general executive needs and the pool of available candidates. However, mandatory requirements create difficulties in matching the availability of individual candidates for scheduled training sessions. Moreover, they inhibit the development of individual programs for candidates whose experiences may have better equipped them in some areas than in others. Elective training allows the candidates greater flexibility in matching training to individual needs, interests, and availability. It also permits candidates to obtain general skills in the six OPM competency areas through a variety of external and internal training and assignments. It does not, however, do as well in fitting executive needs identified by vacancy forecasts with candidates for specific positions or of anticipating future organizational requirements.

Characteristics of Selected Programs

The survey revealed many interesting aspects of executive development programs in other departments which may be helpful to reflect upon when discussing CIA's own program. The General Accounting Office, with only 12 executive candidates per year, has a centralized system. Their Executive Resources Board (ERB) consists of the Deputy Comptroller, two Assistant Comptrollers and two operational division heads. Decisions concerning candidate selection and approvals of candidates' IDPs are made collegially at this level. The NSA, which also closely follows OPM guidelines in these matters, has a centralized, Agency-wide executive development advisory board headed by the Deputy Director NSA. This top level board must approve all training requests for Senior Cryptological Executive Service members and candidates.

The Naval Material Command (NMC) has what some describe as the best senior executive development program in government. The NMC has 255 SES positions, of which 50 are considered corporate. A Resources Utilization Board, made up of top military and civilian management, oversees assignments to the corporate positions; the other SES positions are the province of the various components. A series of developmental tours starting at the GS 13/14 level is used to prepare officers for the corporate positions. Navy's philosophy is to "let the officer feel how their colleagues' shoes fit."

In the Navy, GAO, and NSA, key training and developmental assignments are arranged and approved at the very highest levels. The people we interviewed at these

agencies claimed such active involvement, combined with support from training and personnel units, contributed to the success of their XD programs. For example, the GAO has a developmental assignment for SES candidates which involves "shadowing" (observing the comings and goings at close hand) the Comptroller General for six months—obviously an assignment which has top level support.

The IRS program is of particular interest because its developmental requirements resemble those of the Agency. IRS officers tended to work only in the field or in a headquarters element, and within functionally compartmented components. This inhibited development of managers having a broad perspective of the total IRS effort. To reduce parochial frictions and facilitate collaborative—as opposed to competitive—attitudes at top levels, IRS put together a program designed to develop executives with service-wide experience and outlook. Many of OPM's current SES guidelines are based on longstanding IRS development concepts and practices. IRS staffers move into a separate management career service and experience training and developmental assignments within a systematic framework as they progress upward through management ranks. The program entails a mix of mandatory and optional/elective training and developmental experiences, tailored to individuals within the context of specific organizational needs. By the time they reach the executive level, IRS officers have the appropriate professional/technical and managerial competencies, as well as specific training in the "critical tasks" for a particular executive position. The IRS used specialists in organizational development to assist in developing their program.

The IRS, GAO and NSA all use IDPs and the mentor system to assist their candidates find out "which way is up" in the hierarchy and ultimately to place them in positions which will benefit themselves and the agency. IRS makes considerable use of mandatory training, whereas the NSA has recently switched from an executive candidate program having a core of five mandatory training experiences to an elective system. The National Defense University is conducting what the faculty hopes will be a mandatory, eleven-week program (Institute for Higher Defense Studies) for to flag officer selectees but has had difficulty getting participants released from their jobs.

Length of Training

This issue was reflected in the design of nearly all the programs surveyed. Most respondents reported that they have been under pressure to reduce the length of their training programs so that key officers do not spend too much time away from their desks. After an IG review of the FSI program, which focused on whether a three-, six- or ten-month course was best, State selected the longer period because it would force its components to send officers who were between tours rather than temporarily away from their desks. The same philosophy governs assignments to the War Colleges. GAO has an eighteen-month program in which candidates are assigned to the training unit—both for requisite courses and to arrange their experience tours.

Other programs have been shortened to meet consumer complaints about length away from desk. FEI now offers a three-week as well as the seven-week seminar, although the faculty worries about the quality of the shorter program. The new generals' course at NDU is being conducted with an abbreviated curriculum and the Defense Intelligence College has had trouble getting students other than those who are between assignments.

A compromise solution worked out by the academic institutions and some of the government agencies is to offer a part-time program. George Washington University meets three times per week, including evenings and Saturdays. American University

offers a two-year degree program which has no trouble enrolling students. NSA offers a series of shorter courses (one week or less) and its IDP's are scheduled around those courses which fit into organizational needs.

Staffing and Budgeting

OPM recommends careful budgeting and internal staffing of XD programs. The training components of these programs, however, tend to be costly. All programs attempt to give the participant a good return for his or her high-priced time. This normally means:

- a. Intensive schedules, often running into evening sessions;
- b. A staff with a broad range of expertise, since executive perspectives and problem-solving cannot be characterized by any one academic discipline; and
- c. Substantial time spent in mentoring and counseling participants on an individual basis, so they can relate what is learned to their performance on the job.

The ratio of participants to faculty in the program at American University, for example, is nearly one to one. Other programs are run with a small permanent staff and with many outside speakers. The major determinant appears to be how much teaching is done by the staff.

Comparative costs are difficult to evaluate since many programs have hidden overheads, but a few examples might give some perspective. An expenditure of \$50,000 for external training would enable the Agency to enroll either of the following: four candidates in a thirteen-week, intensive program at Harvard; five candidates in a two-year part-time degree program at American University; eight candidates in a seven-week program at the Federal Executive Institute in Charlottesville, Va.; or twenty-five in George Washington University's six-week, part-time program. Or the Agency could enroll eight in the OPM certification program, a two-year, part-time program in which candidates remain in their current jobs.

Increasingly, the training units are working to prepare training opportunities which meet the OPM criteria for executive development, but at a lower cost in time and money than the more prestigious programs. OPM's premier program—the Education for Public Management Program—has been cut to one-fifth the enrollment it had in the 1970's. Harvard has been unable to fill its quota of participants for the thirteen-week course. State and the Federal Executive Institute are designing new, shorter courses, partly in response to client requests for more flexibility, but also in response to budgetary stringencies.

The universities see a ready market for executive training resulting from the new OPM certification guidelines and are packaging agency-specific programs in a variety of lengths and formats. These are designed to fill in competency areas which on-the-job experience and developmental assignments miss. Developmental assignments, mentoring and use of program alumni as instructors are variously used to keep costs down. Although some believe the value and prestige of a program are directly proportional to its length and cost, on balance, it seems that cost alone is not an adequate measure of utility. In fact, we came across some less ambitious undertakings which were quite good. Moreover, many developmental objectives can be attained through carefully selected rotational and developmental assignments designed to provide for future organizational and individual growth.

Role of Training

The emphasis placed on training in executive development programs varies. Although our focus was primarily on the training programs, one of our principal areas of concern was how training was integrated into the overall program. Most programs were designed to meet the minimum OPM guidelines and to provide future executives a window on the activities of the rest of the government. There is usually an attempt to strike a balance between developmental assignments and training, with each making an input relative to the perceived organizational and individual needs. Many agencies share our problem of receiving candidates who have followed a narrow track of professional growth "a mile high and an inch wide" in experience.

The most highly-regarded programs such as those at IRS, Navy, and GAO were those with specific guidance and support from the highest levels of the organization and in which there was a systematic direction of assignments and efficient integration of training opportunities for officers on the threshold of the Senior Executive Service. This success is in part attributable to the personal involvement of senior line managers in the selection of candidates and the mentoring of their progress. These responsibilities are not relegated to senior officials within the components nor are they left to staff and personnel officers. Training in these programs is used to meet specific organizational needs and to help correct individual deficits in knowledge and experience.

TRAINING PROGRAMS

<u>CODE</u>	<u>Organization</u>	<u>Length</u>	<u>Program Title</u>
AU	American University	20 mos. (PT)	Key Executive Program
DIC	Defense Intelligence College	8 wks. (PT)	National Senior Intelligence Program
FEI	Federal Executive Institute	7 wks. (FT)	Senior Executive Education Program
	FEI	3 wks. (FT)	Executive Leadership & Management Program
GAO	General Accounting Office	18 mos. (FT)	Executive Candidate Development Program
GWU	George Washington University	6 wks. (PT)	Contemporary Executive Development
HAR1	Kennedy School of Government, Harvard	13 wks. (FT)	Program for Senior Executive Fellows
HAR2	Kennedy School of Business, Harvard	3 wks. (FT) Summer only	Program for Senior Managers in Government
HAR3	Kennedy School of Government	10 days (FT)	Executive Program in National & International Security
	Internal Revenue Service	6 mos. 7 wks classroom	Executive Development
MIT	Sloan School of Management, MIT	9 wks. (FT)	Program for Senior Executives
NDU1	Institute of Higher Defense Studies, National Defense Univ.	11 wks. (FT)	Institute of Higher Defense Studies
NDU2	Industrial College of the Armed Forces,	10 mos. (FT)	ICAF
	National War College, National Defense University	10 mos. (FT)	National War College
NSA	National Security Agency	7 wks. (FT)	National Cryptologic Executive Development Program (Tiers II & III)
OPM	Office of Personnel Management	2 yrs. (PT)	SES Candidate Development Program

FSI1	Foreign Service Institute, State Dept.	10 mos. (FT)	Executive Seminar in National & International Affairs
FSI2	FSI	5 wks. 3 @ FEI, 2 @ FSI	Senior Officer Threshold Training
USC	University of Southern California	20 mos. (PT) (MPA & DPA)	Graduate Studies in Public Administration

EXECUTIVE DEVELOPMENT SURVEY
SUBJECTS COVERED

SUBJECT	TOTAL	AU	DIC	FEI1	GAO	GWU	HAR1	HAR2	HAR3	MIT	NDU1	NDU2	NSA	OPM	FSI1	FSI2	USC
EXECUTIVE																	
Leadership	5	✓		✓		✓							✓		✓		
Management	1	✓															
Styles/Skills	6	✓		✓		✓	✓		✓							✓	
Perspectives	4		✓	✓									✓				
Environment	4			✓			✓		✓			✓	✓		✓		
Professional	2							✓									
Conceptualization	1			✓								✓					
Roles	2					✓											
Self-Assessment	4			✓											✓		
ORGANIZATION														✓		✓	✓
Environment/Culture	8			✓		✓	✓	✓	✓	✓				✓	✓		
Development	9				✓	✓	✓		✓					✓	✓		
Internal/External	2					✓	✓		✓								✓
Liaison	4					✓		✓	✓	✓			✓	✓	✓		
Constraints	2					✓		✓	✓						✓		
MANAGEMENT																	
Budgeting/Planning	7	✓	✓	✓		✓						✓					
Program Eval. & Dev.	6	✓		✓		✓	✓					✓				✓	✓
Resource Allocation	7		✓			✓						✓					
Human Resource Dev.	5	✓						✓	✓		✓				✓	✓	✓
Decisionmaking	3				✓					✓				✓	✓		✓
Stress Management	3									✓			✓			✓	
Accountability/Perf.	3			✓		✓		✓		✓			✓		✓		
Systems	5			✓			✓					✓	✓				✓
POLITICS/POLICY																	
Policy Process	10	✓		✓			✓	✓	✓	✓				✓	✓	✓	✓
National Security	7		✓	✓		✓		✓	✓	✓				✓	✓	✓	✓
International Sit.	5		✓								✓				✓	✓	✓
Economics	7								✓				✓		✓	✓	✓
Ethics/Law	5	✓				✓		✓	✓	✓			✓		✓	✓	
Defense	5		✓					✓					✓		✓	✓	
Administration	10			✓		✓	✓	✓	✓		✓		✓	✓	✓	✓	✓
HUMAN FACTORS																	
Counseling	1					✓											
Motivating	1					✓											
Communication Skills	6			✓	✓	✓		✓									
Managing Time	3					✓							✓		✓		
Adaptability	1				✓	✓						✓	✓				
Conflict Resolution	2				✓	✓	✓										
Styles/Conduct	4			✓	✓			✓									✓
TECHNOLOGY																	
Office Technology (s)	2					✓							✓		✓		
Decision Analysis	1												✓				
Information Systems	2					✓							✓				
OTHER																	
History	2								✓						✓		
Media Relations	3								✓				✓		✓		